

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:	) Art Unit: 2756
	)
Michael Malcolm	) Examiner: not assigned
	)
Serial No: 09/093,533	)
	)
Filed: June 8, 1998	)
	)
Title: Network Object Cache Engine	)

#9

Commissioner of Patents and Trademarks  
**BOX ASSIGNMENTS**  
 Washington, D.C. 20231

CERTIFICATE OF MAILING  
 I hereby certify that this correspondence is being deposited  
 with the United States Postal Service with sufficient postage  
 as First Class Mail, in an envelope addressed to:

Honorable Commissioner of  
 Box Assignments  
 Patents and Trademarks  
 Washington, D.C. 20231

on May 18, 1999 Arlette Malhas  
 Date Date Arlette Malhas

**PETITION TO CORRECT ERROR ON NOTICE OF RECORDATION  
 OF ASSIGNMENT DOCUMENT**

This case is a patent application serial no. 09/093,533 filed on June 8,  
 1998, attorney docket number CASH-001. The petition is to correct the  
 assignor's name on the Notice of Recordation Of Assignment Document which  
 the Patent Office has misspelled in error.

It is requested that the Notice of Recordation of Assignment Document be

corrected as follows. Assignor: ZARNKE, ROBERT.

A copy of the Notice Of Recordation Of Assignment Document is enclosed to show the name of assignor to be corrected. Also, enclosed is a copy of the Recordation Form Cover Sheet showing the correct name of Second Conveying Party of the patent application

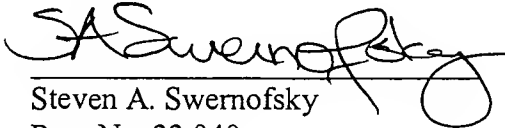
The error is due to the Patent Office; therefore, it is believed no fee is required. If a fee is required, please charge any additional required fee to deposit account number 50-0365

It is further requested that a corrected notice be mailed with correct assignee name.

If there are any questions about this Petition, please call assignee's attorney, Steven A. Swernofsky, at (650) 947-0700.

Date: May 17, 1999

Respectfully Submitted,

  
Steven A. Swernofsky  
Reg. No. 33,040

This will acknowledge receipt of the following application papers at the U.S. Patent Office:

Inventor(s): Michael Malcolm  
Filing Date: June 8, 1998  
Serial No.: 09/093,533  
Entitled: Network Object Cache Engine

Papers filed: Petition to Correct Error on Notice Of recordation Of Assignment Document, 2 pages

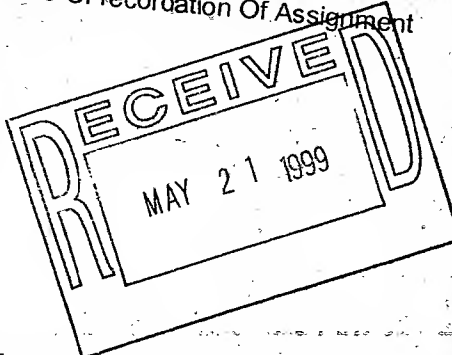
Docket No.: CASH-001  
Attorney: Steven A. Swernofsky

This will acknowledge receipt of the following application papers at the U.S. Patent Office:

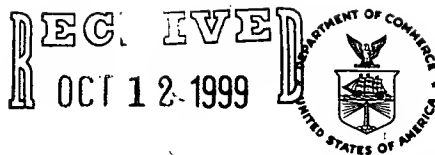
Inventor(s): Michael Malcolm  
Filing Date: June 8, 1998  
Serial No.: 09/093,533  
Entitled: Network Object Cache Engine

Papers filed: Petition to Correct Error on Notice Of recordation Of Assignment Document, 2 pages

Docket No.: CASH-001  
Attorney: Steven A. Swernofsky



BEST AVAILABLE COPY



**UNITED STATES DEPARTMENT OF COMMERCE  
Patent and Trademark Office**

ASSISTANT SECRETARY AND COMMISSIONER  
OF PATENTS AND TRADEMARKS  
Washington, D.C. 20231

OCTOBER 01, 1999

PTAS

THE LAW OFFICES OF STEVEN A. SWERNOFSKY  
STEVEN A. SWERNOFSKY  
P.O. BOX 930013  
MOUNTAIN VIEW, CA 94040



\*101137729A\*

**CORRECTED  
NOTICE**

**UNITED STATES PATENT AND TRADEMARK OFFICE  
NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENT**

THE ENCLOSED DOCUMENT HAS BEEN RECORDED BY THE ASSIGNMENT DIVISION OF THE U.S. PATENT AND TRADEMARK OFFICE. A COMPLETE MICROFILM COPY IS AVAILABLE AT THE ASSIGNMENT SEARCH ROOM ON THE REEL AND FRAME NUMBER REFERENCED BELOW.

PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 703-308-9723. PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE, ASSIGNMENT DIVISION, BOX ASSIGNMENTS, CG-4, 1213 JEFFERSON DAVIS HWY, SUITE 320, WASHINGTON, D.C. 20231.

RECORDATION DATE: 01/28/1999

REEL/FRAME: 009718/0032

NUMBER OF PAGES: 5

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNOR:

MALCOLM, MICHAEL

DOC DATE: 11/10/1998

ASSIGNOR:

ZARNKE, ROBERT

DOC DATE: 11/18/1998

ASSIGNEE:

CACHEFLOW, INC.  
650 ALMANOR AVENUE  
SUNNYVALE, CALIFORNIA 94086

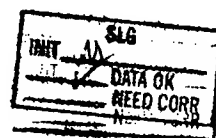
SERIAL NUMBER: 09093533

FILING DATE: 06/08/1998

PATENT NUMBER:

ISSUE DATE:

DOROTHY RILEY, PARALEGAL  
ASSIGNMENT DIVISION  
OFFICE OF PUBLIC RECORDS



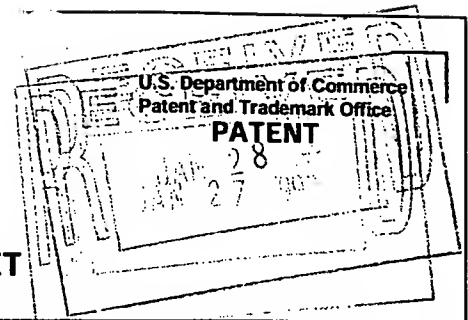
CTS

09-30-1999



101137729

**RECORDATION FORM COVER SHEET  
PATENTS ONLY**



TO: The Commissioner of Patents and Trademarks: Please record the attached original document(s) or copy(ies).

**Submission Type**

- ☒ New
- ☐ Resubmission (Non-Recordation)  
Document ID#
- ☐ Correction of PTO Error  
Reel #  Frame #
- ☐ Corrective Document  
Reel #  Frame #

**Conveyance Type**

- ☒ Assignment ☐ Security Agreement
- ☐ License ☐ Change of Name
- ☐ Merger ☐ Other
- U.S. Government**  
(For Use ONLY by U.S. Government Agencies)
- ☐ Departmental File ☐ Secret File

**Conveying Party(ies)**

☐ Mark if additional names of conveying parties attached

Name (line 1) MICHAEL MALCOLM

Name (line 2)

Execution Date  
Month Day Year  
Nov. 10, 1998

**Second Party**

Name (line 1) ROBERT ZARNKE

Name (line 2)

Execution Date  
Month Day Year  
Nov. 18, 1998

**Receiving Party**

☐ Mark if additional names of receiving parties attached

Name (line 1) CacheFlow, Inc.

Name (line 2)

Address (line 1) 650 Almanor Avenue

Address (line 2)

Address (line 3) Sunnyvale

City

CA

State/Country

94086

Zip Code

☐ If document to be recorded is an assignment and the receiving party is not domiciled in the United States, an appointment of a domestic representative is attached. (Designation must be a separate document from Assignment.)

**Domestic Representative Name and Address**

Enter for the first Receiving Party only.

Name Steven A. Swernofsky

Address (line 1) The Law Offices of Steven A. Swernofsky

Address (line 2) P.O.Box 390013

Address (line 3) Mountain View, CA 94040

Address (line 4) United States

**FOR OFFICE USE ONLY**

01/29/1999 DNGUYEN 00000014 09093533

01 FC:581

40.00 OP

Public burden reporting for this collection of information is estimated to average approximately 30 minutes per Cover Sheet to be recorded, including time for reviewing the document and gathering the data needed to complete the Cover Sheet. Send comments regarding this burden estimate to the U.S. Patent and Trademark Office, Chief Information Officer, Washington, D.C. 20231 and to the Office of Information and Regulatory Affairs, Office of Management and Budget, Paperwork Reduction Project (0651-0027), Washington, D.C. 20503. See OMB Information Collection Budget Package 0651-0027, Patent and Trademark Assignment Practice. DO NOT SEND REQUESTS TO RECORD ASSIGNMENT DOCUMENTS TO THIS ADDRESS.

Mail documents to be recorded with required cover sheet(s) information to:  
Commissioner of Patents and Trademarks, Box Assignments, Washington, D.C. 20231

BEST AVAILABLE COPY

**Correspondent Name and Address**

Area Code and Telephone Number

Name

Reg. No.

Address (line 1)

Address (line 2)

Address (line 3)

Address (line 4)

**Pages**

Enter the total number of pages of the attached conveyance document including any attachments.

#

**Application Number(s) or Patent Number(s)**

☐

Mark if additional numbers attached

Enter either the Patent Application Number or the Patent Number (DO NOT ENTER BOTH numbers for the same property).

**Patent Application Number(s)**

**Patent Number(s)**

If this document is being filed together with a new Patent Application, enter the date the patent application was signed by the first named executing inventor.

Month Day Year

**Patent Cooperation Treaty (PCT)**

Enter PCT application number  
only if a U.S. Application Number  
has not been assigned.

PCT

PCT

PCT

PCT

PCT

PCT

**Number of Properties**

Enter the total number of properties involved.

#

**Fee Amount**

Fee Amount for Properties Listed (37 CFR 3.41): \$

Method of Payment:

Deposit Account

Enclosed

☒

Deposit Account

☐

(Enter for payment by deposit account or if additional fees can be charged to the account.)

Deposit Account Number:

#

Authorization to charge additional fees:

Yes

☒

No

☐

**Statement and Signature**

*To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document. Charges to deposit account are authorized, as indicated herein.*

Steven A. Swernofsky

Name of Person Signing



Signature

Jan. 21, 1999

Date

BEST AVAILABLE COPY

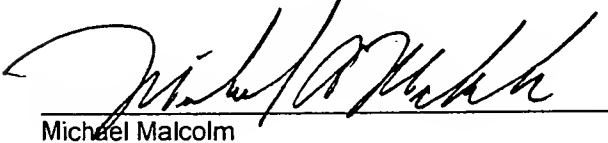
# ASSIGNMENT

WHEREAS, we, Michael Malcolm, a citizen of the United States, residing at 521 Shelby Lane, Los Altos, California, and Robert Zarnke, a citizen of Canada, residing at 383 Parkgreen Place, Waterloo, Ontario N2L 5S6, Canada, have invented a "Network Object Cache Engine" for which we have executed application papers for a U.S. patent thereon, which was filed on June 8, 1998, Serial No. 09/093,533; and

WHEREAS, CacheFlow, Inc., corporation, having a place of business at 650 Almanor Ave., Sunnyvale, California 94086, is desirous of acquiring the exclusive right, title and interest in and to said invention and in and to the Letters Patent to be granted and issued therefor in the United States of America and its territories and possessions, and in all countries foreign thereto;

NOW, THEREFORE, for a valuable consideration, the receipt of which is hereby acknowledged, we, Michael Malcolm and Robert Zarnke, do sell, assign, transfer and set over unto the said CacheFlow, Inc., its successors and assigns, the full and exclusive right, title and interest in and to said invention, and in and to any and all letters patent to be granted and issued therefor, not only for, to and in the United States of America, its territories and possessions, but also for, to and in all other countries including all priority rights under the International Convention; and we hereby authorize and request the Commissioner of Patents and Trademarks to issue said Letters Patent to said CacheFlow, Inc., its successors and assigns, in accordance with this Assignment.

WITNESS OUR HAND at \_\_\_\_\_, this \_\_\_\_\_ day of \_\_\_\_\_, 1998.

  
Michael Malcolm

  
Robert Zarnke

STATE OF WASHINGTON )  
 ) ss.  
COUNTY OF \_\_\_\_\_ )

On this \_\_\_\_\_ day of \_\_\_\_\_, 1998, before me, \_\_\_\_\_, a Notary Public, personally appeared Michael Malcolm and Robert Zarnke personally known to me (or proved to me on the basis of satisfactory evidence) to be the persons whose names are subscribed to the within instrument and acknowledged to me that they executed the same in their authorized capacities, and that by their signatures on the instrument the persons or the entity upon behalf of which the persons acted, executed the instrument.

WITNESS my hand and official seal.

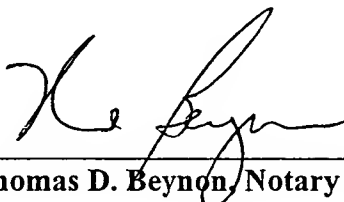
\_\_\_\_\_  
NOTARY PUBLIC

BEST AVAILABLE COPY

PROVINCE OF ONTARIO, CANADA )  
Regional Municipality of Waterloo )  
)

On this 18th day of November, 1998, before me, Thomas D. Beynon, a Notary Public, personally appeared Robert Zarnke personally known to me to be one of the persons whose name is subscribed in that certain Assignment made by Michael Malcolm and Robert Zarnke in favour of Cacheflow, Inc. being an Assignment of their interest in the application for a U.S. Patent filed on June 8, 1998, having Serial No. 09/093,533 and he has acknowledged to me that he has executed the same in his personal capacity and that by his signature on the instrument he has executed the said Assignment.

WITNESS my hand and official seal.

  
\_\_\_\_\_  
Thomas D. Beynon, Notary Public

BEST AVAILABLE COPY